

REQUEST FOR PROPOSALS

MARICOPA ASSOCIATION OF GOVERNMENTS (MAG)

STATEWIDE TRANSPORTATION SURVEY



January 13, 2008

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PUBLIC NOTICE

REQUEST FOR PROPOSALS (long version):

STATEWIDE TRANSPORTATION SURVEY

The Maricopa Association of Governments (MAG) is requesting proposals from qualified consultants to develop and conduct an independent, scientifically valid voter opinion survey to measure regional and statewide public attitudes, opinions, and interests relevant to addressing transportation mobility needs. The project will be completed in a maximum 90 days from the date of the notice to proceed at a cost not to exceed \$55,000.

Detailed proposal requirements may be obtained by contacting the MAG Office at the address indicated below or may be downloaded from www.mag.maricopa.gov, under "Employment/RFP's" then "RFPs/RFQs." For further information, please submit questions in writing by fax to the attention of Kelly Taft, Communications Manager, at (602) 254-6490, or by e-mail to ktaft@mag.maricopa.gov.

A pre-proposers conference will be held at 1:00 PM on Monday, January 21, 2008 to answer questions about the project.

Proposals will be accepted until 12 PM Noon (Mountain Standard Time) on Thursday, January 31, 2008, at MAG, 302 North 1st Avenue, Suite 300, Phoenix, Arizona 85003.

SCOPE OF WORK

Introduction

The Maricopa Association of Governments (MAG) is requesting proposals from qualified consultants to develop and conduct an independent, scientifically valid household telephone survey of likely voters to measure regional and statewide public attitudes, opinions, and interests relevant to addressing transportation mobility needs. The project will be completed in a maximum 90 days from the date of the notice to proceed at a cost not to exceed \$55,000.

Background

MAG is the designated Council of Governments (COG) and Metropolitan Planning Organization (MPO) for transportation planning for the metropolitan Phoenix area. MAG is also the designated Air Quality Planning Agency for the region. The MAG membership consists of the 25 incorporated cities and towns within Maricopa County and the contiguous urbanized area, the Gila River Indian Community, the Salt River Pima-Maricopa Indian Community, Fort McDowell Yavapai Nation, Maricopa County, the Arizona Department of Transportation (ADOT), and the Citizens Transportation Oversight Committee (CTOC). ADOT and CTOC serve as ex-officio members for transportation-related issues.

Over the past year, the Arizona COG/MPO Association, of which MAG is an active member, has been meeting to discuss growth and transportation issues. Projections show the state will grow from 6 million population to 15 million by 2050, while the Maricopa region will grow from 3.7 million to 8.1 million by 2050. Additional statewide funding for transportation infrastructure may be necessary to accommodate this growth.

In December 2006, the MAG Regional Council approved MAG's participation in a Statewide Intrastate Mobility Reconnaissance Study. This study is nearing completion, and transportation framework studies are about to be initiated throughout the state. The purpose of the studies is to define transportation needs and potential solutions for the transportation challenges facing Arizona.

To provide additional input into these framework studies and to determine voters' perceived transportation needs and support for funding options, on December 19, 2007, the MAG Regional Council recommended that a public attitude survey be conducted. The purpose of the survey is to better understand public attitudes regarding transportation needs, potential solutions, and timing. The scientific household telephone survey would explore citizen attitudes regarding transportation issues and potential solutions on a regional and statewide basis in addressing mobility needs.

Proposed Tasks

The consultant is encouraged to be creative in developing a sound analytical approach that achieves the goals for this project. The consultant is urged to be as specific as possible when describing the activities that will be performed to support each task. The consultant is also urged to make maximum use of matrices, tables and drawings in working papers produced for the project to ensure conciseness and clarity and to minimize the amount of text required. In preparing a proposal for consideration by MAG, the consultant will not be required to adhere strictly to the proposed tasks specified below. Additional tasks may be warranted.

Task 1 **Refine Scope of Work**

Initial inquiry and discussion may result in some revisions to the Scope of Work and Project Schedule. The consultant may recommend additional tasks to measure public attitudes and opinions, such as focus groups or targeted interviews with identified stakeholders. As necessary, the consultant will refine the Scope of Work for this project based upon professional experience and input from MAG. This work will be performed under the general direction of the MAG project manager. The consultant will prepare documentation of any such revision, including a revised labor/dollar allocation and project task cost breakdown, and submit the revision to MAG for approval.

Maricopa Association of Governments Request for Proposals–Statewide Transportation Survey

Task 2 Develop Draft Survey Instrument

Working with MAG and utilizing transportation research nationally and statewide, the consultant will prepare the draft survey instrument. Questions may include, but are not limited to, public attitudes on transportation choices (such as modal preferences); perceived transportation needs both regionally and statewide; methods of funding transportation infrastructure (such as gas tax, toll roads, vehicle tax, impact fees, etc.); and voter attitudes regarding election timing, growth, and open space preservation.

Task 3 Conduct a Stakeholder Workshop to Refine Survey Instrument and Develop Final Survey Instrument

The consultant will conduct a workshop for identified stakeholders to review the draft survey instrument and the sampling and survey methodologies and processes. The consultant will then determine whether refinements to the survey instrument are necessary based upon stakeholder comment.

Task 4 Conduct Statistically Valid Statewide Transportation Survey of Likely Voters

The consultant will conduct a statewide transportation poll that will encompass an appropriate universe of likely voters to be statistically valid. The survey must be conducted in a manner to enable the analysis of the findings statewide as by the following subareas: Maricopa County, Pima County, and the balance of the state.

Task 5 Analyze Survey Results and Prepare Final Report

The consultant will tabulate survey results, key findings, detailed findings, conclusions and recommendations reported for the entire state and by the subareas noted above. The findings will be compiled into a Final Survey Report.

Deliverable Products

The products of this project are listed below. Each Working Paper should present information in a succinct manner with preference given to the use of tables, charts, and matrices. An administrative draft of each working paper will be submitted in both electronic and hard copy format to the MAG project manager for review. Comments from the MAG project manager will be incorporated into the Working Paper by the consultant before it is distributed for external review. Comments received during the external review process will be incorporated into the Working Paper by the consultant.

1. Working Paper 1, Revised Scope of Work and Project Schedule, listing specific project tasks and a schedule for completion of each task (one initial administrative draft for review in electronic and hard copy format; and one electronic version and five hard copies of the revised Scope of Work and Project Schedule).
2. Working Paper 2, Draft Survey Instrument (one initial administrative draft in electronic and hard copy format for MAG review; and one electronic version and 25 copies of the Working Paper).
3. Working Paper 3, Final Survey Instrument (one initial administrative draft in electronic and hard copy format MAG review; and one electronic version and five hard copies of the Working Paper).
4. Working Paper 4, Final Survey Report with Executive Summary (one camera-ready original, one copy in electronic format and 30 bound copies of the full report with Executive Summary, plus 30 additional copies of the Executive Summary).

PROPOSAL REQUIREMENTS

Project Cost and Schedule

The estimated time frame for this project is 90 days from the date of the notice to proceed, with intermediate deliverables due in accordance with the schedule as agreed to between MAG and the consultant(s). The date of the notice to proceed is anticipated to be March 5, 2008.

Proposal Delivery

1. Ten [10] copies of the proposal must be submitted by 12 PM (Noon) Mountain Standard Time on Thursday, January 31, 2008.

Maricopa Association of Governments
Attention: Kelly Taft, Communications Manager
302 North 1st Avenue, Suite 300
Phoenix, Arizona 85003

Timely receipt of proposals will be determined by the date and time the proposal is received at the above address. Hand delivery is therefore encouraged. No late submissions, facsimile, or electronic submissions will be accepted.

Proposals will be opened publicly and the name of each entity submitting a proposal will be read at 12:05 PM on Thursday, January 31, 2008, at the MAG Offices, Cholla Room, 302 North 1st Avenue, Suite 200 Phoenix, Arizona, 85003.

All material submitted in response to this solicitation becomes the property of MAG and will not be returned. After contract award, the proposals shall be open for public inspection except to the extent that the withholding of information is permitted or required by law. If the offeror designates a portion of its proposal as confidential, it shall isolate and identify in writing the confidential portions in accordance with Arizona Administrative Code R2-7-103; which shall be included in the proposal. Upon receipt of your written notification, MAG will review any portions of the proposal that the proposer considers to be confidential and then make a determination on what should be released. MAG will also notify you in writing of our determination and provide you with an opportunity to respond to our decision prior to releasing the proposal.

2. Any questions regarding this Request for Proposals should be submitted in writing to Kelly Taft, Communications Manager by fax at (602) 254-6490; or by email at ктафт@mag.maricopa.gov. Responses to questions submitted will be posted on the MAG Web site at <http://www.mag.maricopa.gov/rfp.cms?item=8316>. Additional information regarding MAG activities, including Committee meeting schedules, may be found on the MAG Web site www.mag.maricopa.gov.
3. A proposer's conference for the project has been scheduled for 1:00 PM, Monday, January 21, 2008, at the MAG Office, Cholla Room, Suite 200, 302 North 1st Avenue, Phoenix, Arizona. If you wish to receive notes from the proposer's conference and a list of attendees, please contact the MAG project manager.

Proposal Content

It is required that the proposal:

1. Be limited to a maximum length of 25 pages, including a cover letter, résumés, and any appendices. The cover letter must be signed by a party authorized to bind the entity submitting the proposal.
2. Be prefaced by a brief statement describing the proposer's organization and outlining its approach to completing the work required by this solicitation. This statement shall illustrate the proposer's overall understanding of the project.
3. Contain a work plan which concisely explains how the consultant will carry out the objectives of the project. In the work plan, the proposer shall describe each project task and proposed approach to the task as clearly and thoroughly as possible.
4. Include a preliminary schedule for the project in bar-chart format. Indicate all work plan tasks and their durations. The schedule shall clearly identify project deliverable dates.
5. Contain a staffing plan for the project. The plan shall include the following in table format:
 - a. A project organization chart, identifying the project manager.
 - b. Names of key project team members and/or subconsultants. Only those personnel who will be working directly on the project should be cited.
 - c. The role and responsibility of each team member.
 - d. Percent effort (time) of each team member for the contract period.
 - e. The role and level of MAG technical staff support, if any.
6. Include résumés for major staff members assigned to the project. These résumés should focus on their experience in this type of project.
7. Each firm submitting a proposal is required to certify that it will comply with, in all respects, the rules of professional conduct set forth in A.C.R.R. R4-30-301 (see Appendix A), which is the official compilation of the Rules of Professional Conduct from the Administrative Rules and Regulations for the State of Arizona.
8. Include proposer's recent experience (last five years) in performing work similar to that anticipated herein. This description shall include the following:
 - a. Date of project.
 - b. Name and address of client organization.
 - c. Name and telephone number of individual in the client organization who is familiar with the project.
 - d. Short description of project.
 - e. Consultant team members involved and their roles.
9. A labor cost allocation budget formatted as noted in Appendix B.
10. All firms proposing on this project will be required to include a "*Proposer's Registration Form*" (See Appendix C) in the submitted proposal. In addition, a "*Proposer's Registration Form*" is required to be included for each subcontractor proposed for this project.

Maricopa Association of Governments Request for Proposals–Statewide Transportation Survey

11. The Disadvantaged Business Enterprise (DBE) requirements in the Code of Federal Regulations Title 49, Part 26 will apply to this Contract. See Appendix D, "MAG's Key DBE Regulatory Requirements". A complete copy of MAG's DBE program is available on request.
12. Each firm shall document within its proposal any potential conflicts of interest. A conflict of interest shall be cause for disqualifying a consultant from consideration. A potential conflict of interest includes, but is not limited to:
 - a. Accepting an assignment where duty to the client would conflict with the consultant's personal interest, or interest of another client.
 - b. Performing work for a client or having an interest which conflicts with this contract.
 - c. Employing personnel who worked for MAG or one of its member agencies within the past three years.
 - d. All relationships with MAG and/or any employees of MAG.

MAG will be the final determining body as to whether a conflict of interest exists.

PROPOSAL EVALUATION AND SELECTION PROCESS

1. All proposals will be evaluated by an evaluation team consisting of MAG staff and MAG member agency staff. Evaluation criteria include the following:
 - a. Demonstrated understanding of the project through a well-defined work plan consistent with program objectives.
 - b. Clarity of proposal, realistic approach, technical soundness, and enhancements to elements outlined in this Request for Proposals.
 - c. Experience of the project manager and other project personnel in similar studies. Only those personnel assigned to work directly on the project should be cited.
 - d. Proven track record in this area of study. Proposers should identify the principal people who worked on past projects and the amount of time they devoted to the work effort.
 - e. Availability of key personnel throughout the project effort.
 - f. Price or cost/value.
 - g. Ability and commitment to complete the project within the specified time period, meet all deadlines for submitting associated work products, and ensure quality control.
 - h. Recognition of work priorities and flexibility to deal with change and contingencies.
2. On the basis of the above evaluation criteria, selected firms submitting proposals may be interviewed prior to the selection of a consultant. In-person interviews are anticipated to be scheduled for February 12, 2008. It is anticipated that firms selected for interviews will be contacted approximately one week prior to the in-person interview date. MAG strongly suggests that the project manager and key members of the consultant team be present at the in-person interview, so proposers may want to “save the date” prior to notification.
3. MAG may conduct discussions with offerors who submit proposals determined to be reasonably susceptible of being selected for award.
4. MAG reserves the right to:
 - a. Cancel this solicitation.
 - b. Reject any and all proposals and re-advertise.
 - c. Select the proposal(s) that, in its judgment, will best meet its needs.
 - d. Negotiate a contract that covers selected parts of a proposal, or a contract that will be interrupted for a period or terminated for lack of funds.

ADMINISTRATIVE REQUIREMENTS

1. This Request for Proposals is for a cost-reimbursement plus fixed fee contract.
2. During the course of the project, a monthly progress report is required to be submitted within ten (10) working days after the end of each month until the final report is submitted. Each report shall include a comprehensive narrative of the activities performed during the month, an estimated percent complete for each project task, monthly and cumulative costs by task, activities of any subcontractors, payments to any subcontractors, a discussion of any notable issues or problems being addressed, and a discussion of anticipated activities for the next month (See Appendix E for format).
3. MAG shall retain ten percent (10%) of the contract amount, withheld from each invoice, as final payment until completion of the project to the satisfaction and acceptance of the work. Final payment shall be made after acceptance of the final product and invoice.
4. An audit examination of the consultant's records may be required.
5. The firm that is selected will be required to comply with Titles VI and VII of the Civil Rights Act of 1964. The contractor will comply with Executive Order 11246, entitled Equal Employment Opportunity, as amended by Executive Order 11375 and as supplemented in Department of Labor Regulations (41 CFR Part 60). The contractor will also be required to comply with all applicable laws and regulations of the U.S. Department of Transportation.
6. The firm selected will be required to comply with MAG insurance requirements, which may include: Workmen's Compensation, Architects and Engineers Professional Liability insurance, Commercial General Liability insurance, Business Automobile Liability insurance, and Valuable Papers insurance.
7. The firm selected is required to document any potential conflicts of interest during the contract period. A conflict of interest shall be cause for terminating a contract. A potential conflict of interest includes, but is not limited to:
 - a. Accepting an assignment where duty to the client would conflict with the consultant's personal interest, or interest of another client.
 - b. Performing work for a client or having an interest which conflicts with this contract.
 - c. Employing personnel who worked for MAG or one of its member agencies within the past three years.

MAG will be the final determining body as to whether a conflict of interest exists.

APPENDIX A

ARIZONA ADMINISTRATIVE CODE R4-30-301

ARTICLE 3. REGULATORY PROVISIONS

R4-30-301. Rules of Professional Conduct

All registrants shall comply with the following rules of professional conduct:

1. A registrant shall not submit any materially false statements or fail to disclose any material facts requested in connection with an application for registration, certification, or subpoena.
2. A registrant shall not engage in fraud, deceit, misrepresentation or concealment of material facts in advertising, soliciting, or providing professional services to members of the public.
3. A registrant shall not knowingly commit bribery of a public servant as proscribed in A.R.S. § 13-2602, knowingly commit commercial bribery as proscribed in A.R.S. § 13-2605, or violate any federal statute concerning bribery.
4. A registrant shall comply with state, municipal, and county laws, codes, ordinances, and regulations pertaining to the registrant's area of practice.
5. A registrant shall not violate any state or federal criminal statute involving dishonesty, fraud, misrepresentation, embezzlement, theft, forgery, perjury, bribery, or breach of fiduciary duty, if the violation is reasonably related to the registrant's area of practice.
6. A registrant shall apply the technical knowledge and skill that would be applied by other qualified registrants who practice the same profession in the same area and at the same time.
7. A registrant shall not accept an assignment if the duty to a client or the public would conflict with the registrant's personal interest or the interest of another client without full disclosure of all material facts of the conflict to each person who might be related to or affected by the project or engagement in question.
8. A registrant shall not accept compensation for services related to the same project or professional engagement from more than one party without making full disclosure to all parties and obtaining the express written consent of all parties involved.
9. A registrant shall make full disclosure to all parties concerning:
 - a. Any transaction involving payments to any person for the purpose of securing a contract, assignment, or engagement, except for actual and substantial technical assistance in preparing the proposal; or
 - b. Any monetary, financial, or beneficial interest the registrant may hold in a contracting firm or other entity providing goods or services, other than the registrant's professional services, to a project or engagement.
10. A registrant shall not solicit, receive, or accept compensation from material, equipment, or other product or services suppliers for specifying or endorsing their products, goods or services to any client or other person without full written disclosure to all parties.
11. If a registrant's professional judgment is overruled or not adhered to under circumstances where a serious threat to the public health, safety, or welfare may result, the registrant shall immediately notify the responsible party, appropriate building official, or agency, and the Board of the specific nature of the public threat.
12. If called upon or employed as an arbitrator to interpret contracts, to judge contract performance, or to perform any other arbitration duties, the registrant shall render decisions impartially and without bias to any party.

13. To the extent applicable to the professional engagement, a registrant shall conduct a land survey engagement in accordance with the April 12, 2001 Arizona Professional Lands Surveyors Association (APLS) Arizona Boundary Survey Minimum Standards, as adopted by the Board on June 15, 2001, the provisions of which are incorporated in this subsection by reference and on file with the Office of the Secretary of State. This incorporation by reference does not include any later amendments or editions.
14. A registrant shall comply with any subpoena issued by the Board or its designated administrative law judge.
15. A registrant shall update the registrant's address and telephone number of record with the Board within 30 days of the date of any change.
16. A registrant shall not sign, stamp, or seal any professional documents not prepared by the registrant or a bona fide employee.
17. Except as provided in subsections (18) and (19), a registrant shall not accept any professional engagement or assignment outside the registrant's professional registration category unless:
 - a. The registrant is qualified by education, technical knowledge, or experience to perform the work; and
 - b. The work is exempt under A.R.S. § 32-143.
18. A registered professional engineer may accept professional engagements or assignments in branches of engineering other than that branch in which the registrant has demonstrated proficiency by registration but only if the registrant has the education, technical knowledge, or experience to perform such engagements or assignments.
19. Except as otherwise provided by law, a registrant may act as the prime professional for a given project and select collaborating professionals; however, the registrant shall perform only those professional services for which the registrant is qualified by registration to perform and shall seal and sign only the work prepared by the registrant or by the registrant's bona fide employee.
20. A registrant who is designated as a responsible registrant shall be responsible for the firm or corporation. The Board may impose disciplinary action on the responsible registrant for any violation of Board statutes or rules that is committed by a non-registrant employee, firm, or corporation.

APPENDIX B

LABOR COST ALLOCATION BUDGET

LABOR COST ALLOCATION BUDGET - SAMPLE

CONSULTANTS LABOR		HOURS BY PERSONNEL AND TASK DESCRIPTION							
Personnel	Raw Direct Hourly Rate	1 (Task Description)	2 (Task Description)	3 (Task Description)	4 (Task Description)	5 (Task Description)	6 (Task Description)	Total Hours	Total Cost
(NAME)	\$ 0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	\$ 0.00
(NAME)	\$ 0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	\$ 0.00
(NAME)	\$ 0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	\$ 0.00
(NAME)	\$ 0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	\$ 0.00
Total Hours		0.00	0.00	0.00	0.00	0.00	0.00	0.00	
Total Task Cost		\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
Fringe (or Overhead) Rate	1.??	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
Total Labor with Fringe		\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00

REIMBURSABLE EXPENSES		EXPENSES BY TASK							
Description		1	2	3	4	5	6		Total Cost
Description (i.e. Postage)	\$	0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
Description (i.e. Photocopy/Printing)	\$	0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
Description (i.e. Travel)	\$	0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
Description (i.e. Telephone)	\$	0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
Description (i.e. Other)	\$	0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
Description (i.e. Miscellaneous)	\$	0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
Total Reimbursable Expenses	\$	0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00

SUBCONTRACTORS		HOURS BY TASK							
Company or Person	Hourly Rate	1	2	3	4	5	6	Total Hours	Total Cost
(NAME)	\$ 0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	\$ 0.00
(NAME)	\$ 0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	\$ 0.00
(NAME)	\$ 0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	\$ 0.00
Total Hours		0.00	0.00	0.00	0.00	0.00	0.00	0.00	
Total Subcontractor Cost		\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00

GRAND TOTAL		TOTAL COSTS BY TASK							
Description		1	2	3	4	5	6		Total Cost
Consultant Cost		\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
Fee @	0.10	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
Subtotal		\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
Reimbursable Expenses		\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
Subcontractors		\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
GRAND TOTAL		\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00

APPENDIX C

PROPOSER'S REGISTRATION FORM

PROPOSER'S REGISTRATION FORM

All firms proposing as prime contractors or subcontractors on Maricopa Association of Governments (MAG) projects are required to be registered. **Please complete this form and return it with your proposal.**

If you have any questions about this registration form, please call the MAG Fiscal Services Manager, (602) 254-6300.

1. GENERAL INFORMATION:

Name of Firm: _____
Street Address: _____
City, State, ZIP _____
Mailing Address: _____
City, State, ZIP _____
Telephone Number _____
Fax Number: _____
E-mail address: _____
Web address: _____
Year firm was established _____

Check all that apply:

Is this firm a prime consultant? _____
Is this firm a sub-consultant? _____ Identify specialty: _____
Is this firm a certified DBE? _____ If so, by whom? _____
Is this firm currently debarred? _____
Is this firm currently the subject of debarment proceeding? _____

2. FINANCIAL INFORMATION

Firm's annual gross receipts (average of last 3 years):

_____ <\$300,000
_____ \$300,000 - \$599,999
_____ \$600,000 - \$999,999
_____ \$1,000,000 - \$4,999,999
_____ >\$5,000,000

Information will be maintained as confidential to the extent allowed by federal and state law. The undersigned swears that the above information is correct. Any material misrepresentation may be grounds for terminating any contract which may be awarded and initiating action under federal and state laws concerning false statements.

Name, Title

Date

APPENDIX D

MAG'S KEY DISADVANTAGED BUSINESS ENTERPRISE (DBE) PROGRAM REQUIREMENTS FOR CONSULTANT CONTRACTS

MAG'S KEY DISADVANTAGED BUSINESS ENTERPRISE (DBE) PROGRAM REQUIREMENTS FOR CONSULTANT CONTRACTS

The Disadvantaged Business Enterprise (DBE) requirements in the Code of Federal Regulations Title 49, Part 26 will apply to this contract. A complete copy of MAG's DBE Program is available by request to MAG's DBE Liaison Officer, at 602/254-6300.

The Consultant will agree to ensure that DBEs, as defined in 49 CFR 26, have the maximum opportunity to participate in the performance of contracts and subcontracts financed in whole or in part with Federal funds provided under this agreement.

DBE Participation Goal and Reporting:

The DBE participation goal for MAG is 11 percent. DBEs used for this contract must be certified by the Arizona Department of Transportation or the City of Phoenix prior to the award of the contract. A list of Certified DBE organizations is available at the Civil Rights Office of the Arizona Department of Transportation or the City of Phoenix.

The Consultant will be required to report monthly on: (1) the utilization of any subcontractors, and (2) any payments made to subcontractors (DBEs and non-DBEs).

Requirement for Proposal:

All firms proposing on this project will be required to include a completed "Proposer's Registration Form" (See Appendix D) with their proposal. In addition, a completed Proposer's Registration Form must be included with the proposal for any subcontractors used on this project.

General Requirements for Proposals and Contract:

All proposers will be required to include the following information in their proposal and contract:

1. A clear and concise description of the work that each DBE will perform
2. The dollar amount of the participation of each DBE firm participating
3. Written documentation of the proposer's commitment to use a DBE subcontractor(s) whose participation it submits to meet a contract goal
4. If the contract goal is not met, evidence of good faith efforts to meet the goal

Contractor and Subcontractor Assurance:

MAG will incorporate into each contract it signs with a Prime Contractor, and require in each subcontract (that a Prime Contractor signs with a Subcontractor), the following assurance:

"The Contractor, Subrecipient or Subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The contractor shall carry out applicable requirements of 49 CFR 26 in the award and administration of USDOT-assisted contracts. Failure by the contractor to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy as MAG deems appropriate."

Prompt Payment Provision:

"The Prime Contractor will pay Subcontractors for satisfactory performance of contracts no later than fourteen (14) calendar days from the date that the Prime Contractor receives payment from MAG. The Prime Contractor will also return retainage payments to the Subcontractor within fourteen (14) calendar days from the date of satisfactory completion of work."

Prime Contractors must:

1. Provide the Subcontractor with the name, address and phone number of the person to whom all invoices/billings and statements must be sent.
2. Pay Subcontractors and suppliers within fourteen (14) days of receipt of payment from MAG.
3. Stipulate the reason(s) in writing to the Subcontractor or supplier and to MAG for not abiding by the prompt payment provision. Possible reasons include:
 - a. Failure to provide all required documentation
 - b. Unsatisfactory job performance
 - c. Disputed work
 - d. Failure to comply with other material provisions of the contract
 - e. Third-party claims filed or reasonable evidence that a claim will be filed
 - f. Reasonable evidence that the contract cannot be completed for the unpaid balance of the contract sum or a reasonable amount for retainage.

Subcontractors must:

1. Submit invoices or billing statements to the Prime Contractor's designated contact person in an appropriate

- format and in a timely manner. The format and the timing of billing statements must be specified in the contract(s) between the Prime Contractor and the Subcontractor(s).
2. Notify MAG in writing of any potential violation of the prompt payment provision.

MAG will implement appropriate mechanisms to ensure compliance with the requirements of all program participants. The mechanisms MAG may use include, but are not limited to:

1. MAG will notify Subcontractors (DBE and Non-DBEs) of the Prime Contractor's responsibility for prompt payment and encourage Subcontractors to notify MAG in writing with any possible violations to the prompt payment mechanism.
2. Withholding payment from Prime Contractors who do not comply with the prompt payment provision noted above, where it has been determined by the MAG DBELO that delay of payment to the Subcontractor is not justified.
3. Stopping work on the contract until compliance issues are resolved.
4. Terminating the contract.

MAG will verify that the work committed to DBEs, at the time of the contract award, is actually performed by DBEs.

This will be accomplished by:

1. Requiring Prime Contractors to report Subcontractor(s) (DBE and Non-DBEs) work performed in each monthly progress report along with an indication of the number of hours worked, any costs incurred and the amounts paid to the DBE(s).
2. Ensuring that DBE participation is credited toward the overall goal or contract goal(s) only when payments are actually made to DBE firms.

APPENDIX E

PROGRESS REPORT FORMAT

(Progress Report Format - SAMPLE)

(Consultant's Letterhead)
April 15, 2000

(MAG Project Manager)
Maricopa Association of Governments
302 North First Avenue, Suite 300
Phoenix, Arizona 85003

Re: Progress Report No. 3 and Invoice for the Period of March 2000

For Each Task, the consultant is to provide the percent of work completed to date, a narrative describing the work accomplished, data obtained, problems encountered, meetings held and reports and/or data produced. It is the responsibility of the consultant to document that the work accomplished for each task during the reporting period is commensurate with the amount of money billed for the task in the invoice.

The narrative describing the work accomplished should be of sufficient detail to enable the Project manager to clearly understand the progress on the task during the reporting period. Wherever possible, the consultant should submit along with the progress report appropriate documentation of work accomplished, such as partial or complete draft technical reports or working papers, etc.

TASK 1 - DATA COLLECTION

Percent of Work Completed: 100 percent.

Work Accomplished: A database in both hard copy and electronic format was developed and a methodology for keeping the database current was established.

Data Obtained: Information on the transportation facilities was secured for each of the facilities in the study area. The data included, but was not limited to: name, location, and current and historical traffic levels.

Meetings Held: The following meetings were held in connection with the data collection effort:

March 15, 2000, with the MAG project manager to review data collected for the facilities.

March 21, 2000, with the Advisory Committee to obtain input on the data collection process.

March 23, 2000, with MAG staff to review comments on preliminary database.

March 25, 2000, with the public and special interest groups to obtain input on the distribution of the database.

Reports or Data Produced: A database in electronic format was produced and provided to MAG staff on March 29, 2000.

TASK 2 - INVENTORY

Percent of Work Completed: 100 percent.

Work Accomplished: A facilities inventory was completed, and the data obtained in Task 1 were compiled into a Draft Inventory Technical Report for distribution to the Advisory Committee.

Data Obtained: See Task 1.

Meetings Held: The following meetings were held:

March 1, 2000, met with MAG staff to finalize the outline for the Inventory Technical Report.

March 10, 2000, met with the MAG project manager to obtain suggestions on methods for comparing facility information.

Reports or Data Produced: A draft Inventory Technical Report was produced and distributed to members of the Advisory Committee for review and comment.

TASK 3 - FORECASTS

Percent of Work Completed: 100 percent.

Work Accomplished: Forecasts of travel demand on inventoried facilities were prepared for 2000, 2010 and 2020. The

forecasts were consistent with County control totals reviewed by the Advisory Committee last month. The forecasts included a breakdown by facility type.

Data Obtained: See Task 1.

Meetings Held: March 21, 2000, met with MAG staff to discuss comments on preliminary forecast results.

Reports or Data Produced: A draft forecasts report was produced and distributed to members of the Advisory Committee for review and comment.

TASK 4 - DEMAND/CAPACITY ANALYSIS AND FACILITY REQUIREMENTS

Percent of Work Completed: 60 percent.

Work Accomplished: An hourly capacity was computed for each of the inventoried facilities using the federal guidance provided by MAG staff.

Data Obtained: See Task 1.

Meetings Held: A meeting was held on March 25, 2000 to discuss the differences between the capacity calculations for this study versus previous studies.

Reports or Data Produced: None. However, a draft set of capacity estimates is enclosed documenting the assumptions and data input used to prepare the estimates.

TASK 5- ALTERNATIVES

Percent of Work Completed: 25 percent.

Work Accomplished: Other regional plans were examined to determine the type of alternatives that were used to meet future demand.

Data Obtained: Regional plans from San Diego, Los Angeles, Denver, Seattle Tucson and Chicago were collected.

Meetings Held: On March 18, 2000, a meeting was held with planners for the Pima Association of Governments to discuss alternatives.

Reports or Data Produced: None.

TASK 6 - EVALUATION OF ALTERNATIVES

Work on this task has not begun.

TASK 7 - RECOMMENDATIONS

Work on this task has not begun.

TASK 8 - IMPLEMENTATION

Work on this task has not begun.

Problems Encountered

Some of the capacity calculations prepared for the study were different from the capacity calculations used in previous studies. These differences were discussed and resolved at a meeting held with MAG staff on March 25, 2000.

Invoice: The enclosed invoice is for the third progress payment of \$17,679.20. The total amount billed to date is \$48,250.00.

Sincerely,

Project Manager Name
Project Manager Title

Enclosure